CCTE Grant
Development Institute

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Dr. Lettie Ramirez – CSU East Bay
Dr. Chuck Zartman – CSU Chico
Agenda

- Welcome and Introductions
- Purpose Setting
- Defining a Personal Grant Mission
- Grant Components
- Practice/Development of Ideas
As higher education funding continues to be limited, faculty members are asked to write proposals for external funding to support program development.

Expectation to pursue external funding is becoming part of faculty retention and promotion requirements.

Substantial teaching requirements of faculty means limited release time opportunities for grant development.

Limited opportunities for faculty to be mentored in grant writing.
However…

- There are very good reasons to pursue external grant funding.
- Grants can buy faculty time to do those things that are near and dear to us.
- They can provide resources for new program development that their current funding levels have not supported.
Goals of this institute

✦ To identify your personal research and/or service agenda and possible collaborative efforts and opportunities;

✦ To identify private foundation, corporate, and public (state and federal) funding sources that match your identified project(s) and mission for grant development;

✦ To define a project with appropriate goals and objectives;

✦ To have an understanding of a logic model for grant monitoring and assessment as well as external evaluation;

✦ To have an appreciation of partnerships and outcomes for a project/proposal;

✦ To have an understanding of an appropriate proposal budget;
Product

- To have an understanding of the beginnings of a proposal for external submission.
Identifying your personal research and/or service agenda, the extant funding shortfalls, and possible collaborative efforts and opportunities.
Why do we pursue external funding?

- To obtain external funding to support our creative and scholarly activities;
- To advance the University’s research, instruction, and public service missions.
What is your personal grant agenda?

- Your personal mission and goals for research, scholarship, creative activity, service, etc., as well as grants.
Robert Noyce Teacher Scholarship Program

- The Noyce Teacher Scholarship is an $896,000 National Science Foundation grant that enables CSU Stanislaus to give $10,000 awards to aspiring math and science teachers. Students can receive the award up to three times for their junior, senior and credentialing years.
Teachers from the Valley for the Valley
Central Valley Dual Language Consortium

Sixth Annual Dual Language Parent Conference
Sexta Conferencia Anual de Doble Inmersión Para Padres

California State University, Stanislaus Central Valley Dual Language Consortium

Saturday, March 30, 2013 / sábado, 30 de marzo de 2013

SAIL 
Stanislaus Association for Investment in Language

California State University, Stanislaus
Office of Education
FIPSE/SAIL Grant

SAIL
STANISLAUS ASOCIACIÓN DE INVESTIGACIÓN LATINA
A COMMUNITY OF LEARNERS FOCUSED ON EXCELLENCE IN HISPANIC EDUCATION
UNA CONGREGACIÓN DE EDUCADORES CENTRADA EN LA EXCELENCIA PARA LA COMUNIDAD HISPANA

"either you decide to stay in the shallow end of the pool or you go out in the ocean."
-Christopher Reeve

California State University | Stanislaus
What are the possible collaborations/opportunities?

- What are the needs?
Perform a needs assessment

Central Valley Dual Language Consortium Dual Language Institute

We are in the process of establishing the Central Valley Consortium Dual Language Institute and would like your self assessment of your degree of preparation knowledge in the theory, methods and models dual language education.
Take advantage of all opportunities
Identify your campus support unit and contact for proposal development
Discovering the Types of Funding
1. **Program Grants**: Help the University provide services to the community.

2. **Research Grants**: Study particular issues including the creation of knowledge, the organization of knowledge, the application of knowledge and creative activities.

3. **Instruction Grants**: Elicit educational changes including the adoption of new or different attitudes or increased mastery of skills (both teaching and facilitating fall into this category).
4. **Student Services Grants:** Expand students’ educational and social development by providing cultural, social, and athletic experiences

- Assist students in dealing with personal problems and relationships, as well as their transition from student to member of the labor force; administer a program of financial support for students’ recruit and admit students to the institution’s educational program

- **5. Scholarships/Fellowships/Financial Aid:** Financial assistance provided to students or faculty in the form of grants, stipends, and prizes awarded.
Create a grant development support group that is ongoing
The Request for Proposals

- Identifying and analyzing extant Requests for Proposals (RFP) to determine fit to personal research and/or service agenda.
  - Determine if is a match for you
2013 Investing in Innovation Competition

ED announced the launch of the $150 million 2013 Investing in Innovation (i3) grant competition, which aims to develop and expand practices that accelerate student achievement and prepare every student to succeed in college and career.

READ MORE »
Planning Phase

- READ, READ, COPY, READ….
- Research application process, timelines, …
- Identify staff/volunteers,
- Plan strategy
Writing Phase

- Who will write? Due Date
- Who will prepare budget? Due Date
- Who will send? Final Date
- Who will submit reports?
Application

- Cover Page
- Summary
- Goals/Objectives
- Implementation Plan
- Evaluation
- Budget
Grant

- Needs/Problem
- Purpose: Goals/Objectives
  - SMART
    - S: Specific
    - M: Measurable
    - A: Action Oriented – increases/reduces
    - R: Realistic
    - T: Time Specific
Implementation

- **Purpose:** Who will do what, when
- **Include:** Starting and ending dates
- **Activities and who is responsible**
Final Final

- Check spelling mistakes, grammar
- Complete checklist
- Read the instructions again, follow directions
- Page limits, letters of support,
- Format requirements
Identifying private foundation, corporate, and public funding sources that match their identified project(s) and mission for grant development
<table>
<thead>
<tr>
<th>Rank</th>
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<th>Endowment (USD)</th>
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<td>Leiden, Netherlands</td>
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<td>London</td>
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<td>Chevy Chase, Maryland</td>
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<td>Mohammed bin Rashid Al Maktoum</td>
<td>United Arab Emirates</td>
<td>Dubai</td>
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<td>J. Paul Getty Trust</td>
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<td>Li Ka Shing Foundation</td>
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<td>Hong Kong</td>
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<td>10</td>
<td>The Church Commissioners for England</td>
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<td>London</td>
<td>$8.1 billion</td>
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<tr>
<td></td>
<td>Name</td>
<td>Country</td>
<td>Headquarters</td>
<td>Value</td>
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<td>W.K. Kellogg Foundation</td>
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<td>Kamehameha Schools</td>
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<td>Denmark</td>
<td>Copenhagen</td>
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<td>29</td>
<td>The Kresge Foundation</td>
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<td>Troy, Michigan</td>
<td>$3.3 billion</td>
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</tbody>
</table>
The Wealthiest Foundations in the World

A Comprehensive Directory of Foundations

http://www.foundations.org/grantmakers.html
Defining a project with appropriate goals and objectives
Goals and Objectives

- Develop goals and objectives with attention to Accountability and Student Achievement

- Goals (“General Statements Describing the Purpose of the Project” Spiridakis)

- Objectives (“Activities Needed to Meet Project Goals” Spiridakis)

- Objectives – Measurable, Reportable, and Achievable (SMART goals and objectives)

- Objectives – In our IHE’s, Funded Grant Programs Involve Recruitment/Training/Achievement (How do the grant activities & results of the program lead to K-12 student growth/achievement?)
Break
Developing a logic model for grant monitoring and assessment as well as external evaluation
What is a logic model?

- A depiction of a program showing what the program will do and what it is to accomplish.
- A series of “if-then” relationships that, if implemented as intended, lead to the desired outcomes
- The core of program planning and evaluation
Simplest form

INPUTS → OUTPUTS → OUTCOMES
Logic models can be applied to:

- a small program
- a process (i.e. a team working together)
- a large, multi-component program
- or even to an organization or business
- grants
A logic model is like a road map that identify the path to identifying and accomplishing goals and objectives.
Logic models may also be called...

- Theory of change
- Program action
- Model of change
- Conceptual map
- Outcome map
- Program logic
A bit of history

Dates to late 1960’s
Current accountability demands;
logic model in widespread use

- Public Sector - GPRA
- Non-Profit Sector
- Private Sector
- International Agencies
- Evaluation
Everyday example

Situation

INPUTS

OUTPUTS

OUTCOMES

HEADACHE

Get pills → Take pills → Feel better
Logic model of a training workshop

**Situation:** Funder requires grantees to include a logic model in their funding request; grantees have limited understanding of logic models and are unable to fulfill the funding requirement

**INPUTS**
- Trainer
- Funds
- Equipment
- Research base
- Training curriculum
  - • 3 hour training
  - • Interactive activities
  - • Group work
  - • Practice
  - • Q and A

**OUTPUTS**
- Participants will increase knowledge of logic models
- Participants will increase ability to create a useful logic model of program
- Participants will increase confidence in using logic models

**OUTCOMES**
- Create meaningful logic models
- Use logic models in own work
- Fulfill requirement of funder
  - Improved planning
  - Improved evaluation

**Accountable here**
Youth and community service

**INPUTS**
- Staff
- Grant
- Partners
- Time

**OUTPUTS**
- Youth identify project to work on
- Plan project
- Carry out the project
- Evaluate how they did
- Youth ages 12-16

**OUTCOMES**
- Youth improve skills in planning, decision making, problem solving
- Youth learn about their community
- Youth demonstrate leadership skills
- Youth successfully complete projects
- Youth are connected with and feel valued by their community
- Youth engage in additional community activities
- Youth gain confidence in doing community work

**Adults**
If-then relationships

Underlying a logic model is a series of ‘if-then’ relationships that express the program’s theory of change.
Theory of change

“A theory of change is a description of how and why a set of activities – be they part of a highly focused program or a comprehensive initiative – are expected to lead to early, intermediate, and long-term outcomes over a specified period.”

(Anderson, 2000)
Logical chain of connections showing what the program is to accomplish

- **INPUTS**: Program investments
- **OUTPUTS**: Activities, Participation
- **OUTCOMES**: Short, Medium, Long-term

What we invest → What we do → Who we reach → What results
How will activities lead to desired outcomes?

A series of if-then relationships

Tutoring Program Example

- **IF** We invest time and money
  - **then** We can provide tutoring 3 hrs/week for 1 school year to 50 children
  - **then** Students struggling academically can be tutored
  - **then** They will learn and improve their skills
  - **then** They will get better grades
  - **then** They will move to next grade level on time

...
Don’t forget the arrows

• Arrows and feedback loops show the links between inputs, outputs and outcomes

• Arrows depict the underlying causal connections
A common problem is that activities and strategies often do not lead to the desired outcomes.

Check your ‘if-then’ statements and ensure that they make sense and lead to the outcomes you want to achieve.

A logic model makes the connections EXPLICIT.

“I think you should be more explicit here in Step Two.”
A bit more detail

**INPUTS**
- Program investments
  - What we invest

**OUTPUTS**
- Activities
  - What we do
- Participation
  - Who we reach

**OUTCOMES**
- Short
- Medium
- Long-term
  - What results

**SO WHAT??**
What is the VALUE?
Defining the Situation: Critical first step in logic model development

- What **problematic** condition exists that demands a **programmatic** response?
  - Why does it exist?
    - For whom does it exist?
    - Who has a stake in the problem?
    - What can be changed?

- If incorrectly understood and diagnosed, everything that flows from it will be wrong.

- Factors affecting problems: protective factors; risk factors

- Review research, evidence, knowledge-base

- Traps:
  - Assuming we know cause: symptoms vs. root causes.
  - Framing a problem as a need where need is actually a program or service. “Communities need leadership training..."
Inputs

What we invest
Staff
Volunteers
Time
Money
Research base
Materials
Equipment
Technology
Partners
<table>
<thead>
<tr>
<th>OUTPUTS</th>
<th>What we do</th>
<th>Who we reach</th>
</tr>
</thead>
</table>
| ACTIVITIES | • Train, teach  
• Deliver services  
• Develop products and resources  
• Network with others  
• Build partnerships  
• Assess  
• Facilitate  
• Work with the media  
• ... | PARTICIPATION | • Participants  
• Clients  
• Customers  
• Agencies  
• Decision makers  
• Policy makers | Satisfaction |
## OUTCOMES
What results for individuals, families, communities

<table>
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<tr>
<th>SHORT</th>
<th>MEDIUM</th>
<th>LONG-TERM</th>
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<td><strong>Learning</strong></td>
<td><strong>Action</strong></td>
<td><strong>Conditions</strong></td>
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<tr>
<td>Changes in</td>
<td>Changes in</td>
<td>Changes in</td>
</tr>
<tr>
<td>• Awareness</td>
<td>• Behavior</td>
<td>Conditions</td>
</tr>
<tr>
<td>• Knowledge</td>
<td>• Decision-making</td>
<td>Social (well-being)</td>
</tr>
<tr>
<td>• Attitudes</td>
<td>• Policies</td>
<td>Health</td>
</tr>
<tr>
<td>• Skills</td>
<td>• Social action</td>
<td>Economic</td>
</tr>
<tr>
<td>• Opinion</td>
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<td>Civic</td>
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<tr>
<td>• Aspirations</td>
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<td>Environmental</td>
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<td>• Motivation</td>
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<td>• Behavioral intent</td>
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</table>
Hierarchy of effects

Source: Bennett and Rockwell, 1995, Targeting Outcomes of Programs

- Participation
  - Number and characteristics of people reached; frequency and intensity of contact

- Reactions
  - Degree of satisfaction with program; level of interest; feelings toward activities, educational methods

- Learning
  - Changes in knowledge, attitudes, skills, aspirations

- Actions
  - Changes in behaviors and practices

- Social-economic-environmental improvements
Language: What do you mean by...

- Goal = Impact
- Impact = Long-term outcome
- Objectives (participant focused) = Outcomes
- Activities = Outputs
  - Outputs may signify “tangible” accomplishments as a result of activities; products
Goal – outcome definition

Goal represents a general, big-picture statement of desired results. “We find that it is useful to think of goals as the answer to the question ‘What are issues that you would like the program to address? What changes do you want to occur because of your program?’ (e.g., the outcome of the program will be to increase the number of community residents who believe teenaged smoking is dangerous).”
Outputs vs. Outcomes

_example:_
Number of patients discharged from state mental hospital is an **output**.
Percentage of discharged who are capable of living independently is an **outcome**

_Not how many worms the bird feeds its young, but how well the fledgling flies_

(United Way of America, 1999)
<table>
<thead>
<tr>
<th>Program</th>
<th>Outputs</th>
<th>Outcomes</th>
</tr>
</thead>
</table>
| Crime control           | Hrs of patrol  
# responses to calls  
# crimes investigated  
Arrests made            | Reduction in crimes committed  
Reduction in deaths and injuries resulting from crime;  
Less property damaged or lost due to crime |
| Highway construction    | Project designs  
Highway miles constructed  
Highway miles reconstructed | Capacity increases  
Improved traffic flow  
Reduced travel times  
Reduction in accidents and injuries |

From Poister, 2003
So, why bother? What’s in this for you?

- “This seems like a lot of work.”
- “Where in the world would I get all the information to put in a logic model?”
- “I’m a right brain type of person – this isn’t for me.”
- “Even if we created one, what would we do with it?”
What does a logic model look like?

- Graphic display of boxes and arrows; vertical or horizontal
  - Relationships, linkages
- Any shape possible
  - Circular, dynamic
  - Cultural adaptations; storyboards
- Level of detail
  - Simple
  - Complex
- Multiple models
  - Multi-level programs
  - Multi-component programs
Common variations

UWEX logic model

Inputs ➔ Outputs ➔ Outcomes
Activities Participation Short Medium L-term

Other common logic model used by United Way, Center for Disease Control and others

Inputs ➔ Activities ➔ Outputs ➔ Outcomes
Short Medium L-term
First things first…

• Determine purpose of logic model
  - Who will use it? For what?
• Involve others
• Set boundaries for logic model
  - Level of specificity
• Understand situation
• Explore research, knowledge base, what others are doing/have done
Logic model and common types of evaluation

**Types of evaluation**

**Needs/asset assessment:**
- What are the characteristics, needs, priorities of target population?
- What are potential barriers/facilitators?
- What is most appropriate to do?

**Process evaluation:**
- How is program implemented?
- Are activities delivered as intended? Fidelity of implementation?
- Are participants being reached as intended?
- What are participant reactions?

**Outcome evaluation:**
- To what extent are desired changes occurring? Goals met?
- Who is benefiting/not benefiting? How?
- What seems to work? Not work?
- What are unintended outcomes?

**Impact evaluation:**
- To what extent can changes be attributed to the program?
- What are the net effects?
- What are final consequences?
- Is program worth resources it costs?
Limitations

- Logic Model...
  - Represents intention, is not reality
  - Focuses on expected outcomes
  - Challenge of causal attribution
    - Many factors influence process and outcomes
  - Doesn’t address:
    Are we doing the right thing?
Check your logic model

1. Is it meaningful?

2. Does it make sense?

3. Is it doable?

4. Can it be verified?
Create your own logic model

Situation

INPUTS

OUTPUTS

OUTCOMES
Match evaluation questions to program

**Evaluation questions:**
What questions do you want to answer? 
- e.g., accomplishments at each step; expected causal links; unintended consequences or chains of events set into motion

**Indicators:**
What evidence do you need to answer your questions?
What do you (and others) want to know about the program?

**Inputs**
- Staff
- Money
- Partners
- Research

**Outputs**
- Assess parent ed programs
- Design-deliver evidence-based program of 8 sessions
- Facilitate support groups

**Parents of 3-10 year olds attend**
- Parents increase knowledge of child dev
- Parents better understanding their own parenting style
- Parents gain skills in new ways to parent
- Parents gain confidence in their abilities

**Outcomes**
- Parents identify appropriate actions to take
- Parents use effective parenting practices
- Reduced stress
- Improved child-parent relations
- Strong families
Logic model with indicators for **Outputs** and **Outcomes**

**Outputs**
- Program implemented
- Targeted farmers
- Farmers learn

**Outcomes**
- Farmers practice new techniques
- Farm profitability increases

Indicators:
- Number of workshops held
- Quality of workshops
- Number and percent of farmers attending
- Number and percent who increase knowledge
- Number and percent who practice new techniques
- Number and percent reporting increased profits; amount of increase
Parent Education Example: Evaluation questions, indicators

**EVALUATION QUESTIONS**

- What amount of $ and time were invested?
- How many sessions were held? How effectively? 
  #, quality of support groups?
- Who/how many attended/did not attend? Did they attend all sessions? Supports groups? Were they satisfied – why/why not?
- To what extent did knowledge and skills increase? For whom? Why? What else happened?
- To what extent did behaviors change? For whom? Why? What else happened?
- To what extent is stress reduced? To what extent are relations improved?

**INDICATORS**

- # Staff  
  # used  
  # partners  
- # Sessions held  
  Quality criteria  
- #,% attended per session  
  Certificate of completion  
- #,% demonstrating increased knowledge/skills  
  Additional outcomes  
- #,% demonstrating changes  
  Types of changes  
- #,% demonstrating improvements  
  Types of improvements
Typical activity indicators to track

- Amount of products, services delivered
- #/type of customers/clients served
- Timeliness of service provision
- Accessibility and convenience of service
  - Location; hours of operation; staff availability
- Accuracy, adequacy, relevance of assistance
- Courteousness
- Customer satisfaction

For example:
- # of clients served
- # of consultations
- # of workshops held
- # of attendees
- # of referrals
- Quality of service
Methods of data collection

Sources of Information
- Existing data
  - Program records, attendance logs, etc
  - Pictures, charts, maps, pictorial records
- Program participants
- Others: key informants, nonparticipants, proponents, critics, staff, collaborators, funders, etc.

Data Collection Methods
- Survey
- Interview
- Test
- Observation
- Group techniques
- Case study
- Photography
- Document review
- Expert or peer review
Budgets

Will have established funding levels, partnerships, and budgets.
Goals of Budgeting

- Clear detailed explanation, by budget category, how grant funds will be spent
- Budget should:
  - Support goals and objectives listed
  - Activities
  - Within the budget allowed
  - Realistic and Accurate
Cost Categories

- Personnel
- Fringe Benefits
- Indirect Cost
- Travel
- Equipment
- Supplies
- other
Closure

- Questions, Suggestions, ....
Online Logic Model Developer – IHMC Cmap tools

cmap.ihmc.us/download/

Be sure to download the “Lite” version

Website of the US Department of Education

www.ed.gov